U.S. Nuclear Regulatory Commission
Privacy Impact Assessment

Instructions: *Section A, B, C, and D must be completed for all systems. Section E must be completed if yes is the answer to Section B, questions 1 and 2.*

Date: 03/01/2006

A.   GENERAL SYSTEM/APPLICATION INFORMATION
(See definitions at end of document)

1.   Person completing this form:

Name	Title	Phone No.	Office
Christine Hite	**Fees Systems Analyst**	**301-415-8191**	**OCFO**

2.   System owner:

Name	Title	Phone No.	Office
Jesse Funches	**Chief Financial Officer**	**301-415-7322**	**OCFO**

3.   What is the name of this system?

Fees System

UPI # 429-00-01-01-01-2020-00-307-117

4.   Briefly describe the purpose of this system. What agency function does it support?

The Nuclear Regulatory Commission (NRC) is required to recover a major portion of its annual budget. In order to implement this requirement, the NRC assesses fees in compliance with the Omnibus Budget Reconciliation Act of 1990 (OBRA-90), as amended, and the Independent Offices Appropriation Act of 1952 (IOAA). Fees are recovered as established in 10 CFR Part 170 and 10 CFR Part 171 of the Commission's regulations.

The Office of the Chief Financial Officer/Division of Financial Management/ License Fees Team (OCFO/DFM/LFT) administers some components of the License Fee Management Program (M.D. 4.6) through use of automated processes. The Fees Systems are comprised of a number of sub-application systems. The applications share data from various sources throughout the Agency. The primary function of these applications is to generate invoices to licensees for annual fees and fees for various services which include new licensing approvals, licensing amendments, topical reports, and inspections. Additional functionality includes the tracking of new small materials licensing application fee payments.

5. Note below whether this Privacy Impact Assessment supports a proposed new system or a proposed modification to an existing system.

_____New System   __X__ Modify Existing System

B.   PRIVACY ACT APPLICABILITY

1. Does this system collect, maintain, or disseminate personal information in identifiable form (e.g., name, social security number, date of birth, home address, etc.) about individuals ?

   Yes __X__   No_____

2. If yes, will the data be retrieved by an individual's name or other personal identifier (e.g., social security number, badge number, etc.)?

   Yes__X__   No_____

If you answer yes to questions 1 and 2, complete Section E.

C.   INFORMATION COLLECTION APPLICABILITY

1. Will the personal data be collected from or maintained by persons who are not Federal employees?

   Yes__X__   No_____

2. Will the data be collected from Federal contractors?

   Yes_____   No__X__

3. If the answer is yes to either question 1 or 2, will the data be collected from 10 or more persons during a calendar year?

Yes **X**   No____

4.   If the answer is yes to question 3, is the information to be collected covered by an existing OMB clearance number? If yes, indicate the clearance number, 3150-__ __ __ __

D.   RECORDS RETENTION AND DISPOSAL SCHEDULE APPLICABILITY

Does this system already have a NARA-approved records disposition schedule? (Reference NUREG-0910, "NRC Comprehensive Records Disposition Schedule," or contact your office Records Liaison Officer or Jeff Bartlett, OIS.)

Yes **X**   No____

If yes, list the records schedule number   **(GRS) 6-1.a.(a)**

Complete Section E only if the answers to Section B, questions 1 and 2 are Yes.

E.   SYSTEM DATA INFORMATION

1.   *Type* of information maintained in the system

   a.   Describe the information to be maintained in the system (e.g., financial, medical, training, personnel.) Give a detailed description of the data.

   Information maintained in the system consists of financial data pertaining to invoices issued by the NRC to licensees for annual fees and for services performed under CFR Parts 170 and Part 171. NRC employees' initials and names are used, as well as names and addresses of licensees. Licensees include over 50 categories of persons required to be licensed as well as, where applicable, applicants for facilities, materials, import and export licenses, holders of certificates of compliance, registrations, quality assurance program approvals and government agencies licensed by the NRC.

2.   *Source* of the data in this system

   a.   Are data being collected from the subject individual? If yes, what types of data are being collected?

   The data are not collected from the subject individual.

b. Are data on this individual being collected from other NRC files and databases for this system? If yes, identify the files and databases.

The data are collected from other NRC files and databases that include the following:

Human Resource Management System (HRMS) – time and labor
Reactor Program System (RPS) – staff, TAC, facility and inspection reports
License Tracking System (LTS) - Licensee name and address
Transportation Approval Package Information System (TAPIS) - Licensee name and address
National Sealed Source and Device Registry System (NSS&DRS) - Licensee name and address
General License Tracking System (GLTS) - Licensee name and address
Technical Assistance Program Support System (TAPSS) – contract costs
Technical Assistance Program Support System/NMSS (TAPNM) – contract costs

c. Are data on this individual being collected from a source or sources other than the subject individual and NRC records? If yes, what is the source and what type of data is being collected?

Billing addresses are sometimes provided directly from the licensees.

d. How will data collected from sources other than the subject individual or NRC records be verified as current, accurate, and complete?

Licensees are required to provide correct information for new and changed addresses.

3. *Attributes* of the data

a. Are the *data elements* described in detail and documented? If yes, what is the name of the document? Where is it located?

Yes, the data elements are described in detail and fully documented in User Guides and As-Built System Documents. These documents are electronically stored in the NRC's Central Configuration Management using Rational ClearCase. Hard copies of the documents are stored at the NRC in the OCFO.

b. Is the use of the data both relevant and necessary for the purpose for which the system is designed?

Yes.

c. Will the system derive (i.e., create) new data or create previously unavailable data about an individual through aggregation from the information collected?

  (1) How will aggregated data be maintained, filed, and utilized?

  Data is stored and maintained in DB2 and dBase databases. Costs associated with staff labor are calculated to generate invoice totals. Invoices are mailed to licensees.

  (2) How will aggregated data be validated for relevance and accuracy?

  Certification, internal control, management and quality assurance procedures are in place to validate relevance and accuracy.

  The OCFO also relies upon NRR and NMSS to validate licensee information since they are the Agency's official source of this data.

4. If data are consolidated, what *controls* protect it from unauthorized access, use, or modification?

  The Fees Systems authorization/access control functionality is provided through several different functional levels. These levels are integrated into the process depending on which function is being performed. User identification and authentication are implemented via the mainframe security features of IMB's Resource Access Control Facility (RACF) and within the environment via Novell LAN Manager security features. Administrative, physical, and personnel security requirements are specified and documented. Additional technical security specifications, i.e., additional identification and required passwords, are also built into the systems.

5. How will the data be *retrieved* from the system?

  a. Can it be retrieved by personal identifier? Yes **X**   No_____
  If yes, explain.

  Staff names are retrieved from a Staff table via unique initials that are assigned to each NRC employee. Licensee names and addresses are retrieved from the various source tables and within the Fees System via License Number, TAC Number, Registration Number, and Docket Number.

b.   Is a password or data description required? Yes__**X**__   No____
If yes, explain.

After logging on to the NRC LAN, a Fees System user is required to enter an identification and password in order to access the fees application.

6.   Describe the report or reports that can be produced from this system.

a.   What reports are produced from the system?

Many reports that include information pertaining to staff effort and licensing actions on fee billable activities are produced. Various types of invoices are also produced.

b.   What are the reports used for?

Reports are used to verify fee billable effort and to provide financial statistics for management. Invoices are sent to licensees for fee collection.

c.   Who has access to these reports?

NRC Program Offices such as the Office of the Chief Financial Officer (OCFO), Office of Nuclear Material Safety and Safeguards (NMSS), the Office of Nuclear Reactor Regulation (NRR), Regional Offices, OCFO contractors and the general public.

7.   *Records retention*

a.   What are the record types contained in this system and the medium on which they reside? (Examples: type - program records, medium - electronic; type - database, medium - electronic; type - system documentation, medium - paper.)

Record types include electronic program and database records, as well as system documentation (electronic and paper).

b.   What is the NARA-authorized retention period for each records series in this system?

6 years and 3 months

c.   If unscheduled, what are your retention requirements for each records series in this system?

N/A

d.   What are the procedures for disposing of the data at the end of the retention period (specifically address paper copy, magnetic, or other forms of media)?

Unless otherwise specified in NARA guidelines, residual sensitive data is placed in "burn bags" for periodic collection by NRC security employees for destruction. The material is then destroyed by shredding.

e.   How long will produced reports be maintained?

Unless otherwise specified in NARA regulations and/or NRC Management Directive 4.6, data are required to be retained for 6 years and 3 months in accordance with General Records Schedule (GRS) 6-1.a(a). Electronic records from the fees systems are required to be retained until the data is no longer needed in accordance with the NRC Comprehensive Description Schedule (NRCS) 2-10.3 (NUREG-0910)(b). Program Offices retain certified hardcopy cost data reports, used to determine and certify fees, for 6 years and 3 months in accordance with NRCS 1-1.8(a). Input records used to update staffing reporting systems are retained until the information has been converted to an electronic medium and verified, or until no longer needed to support the reconstruction of or serve as the backup of the master file, whichever is later, in accordance with GRS 20-2.a(b).

f.   Where are the reports stored?

Sensitive data is protected in secured operating areas and procedures for clearing sensitive data from plain view at the close of each workday are in effect. Approved file cabinets are used for storage.

g.   Where are the procedures for maintaining the data/reports documented?

Procedures are documented in internal operating procedures and in various NRC Management Directives that relate to the use of sensitive, unclassified information.

h.   How will unused or unwanted reports be disposed of?

Unless otherwise specified in NARA guidelines, residual sensitive data is placed in "burn bags" for periodic collection by NRC security employees for destruction. The material is then destroyed by shredding.

8.   Capability to *monitor individuals*

a.	Will this system provide the capability to identify, locate, and monitor (e.g., track, surveillance) individuals? Yes__**X**__ No____
If yes, explain.

Under the Freedom of Information Act (FOIA), general licensees will be permitted to review data utilized by the Fees System, which pertain to them. The names, addresses and fee schedules for companies that are recorded in the system may be released to the public upon request.

b.	What controls will be used to prevent unauthorized monitoring?

Access is monitored through various methods including user identification and authentication. Audit trails are maintained.

9.	Coverage Under Existing *Privacy Act System of Records*

a.	Under which Privacy Act System of Records (SOR) notice does this system operate (link to list of SOR available on NRC Internal Home Page)? Provide number and name.

The Fees Systems operate as noted in the Federal Register of September 24, 2004 " Part IV, Nuclear Regulatory Commission, Privacy Act of 1974; Republication of Systems of Records Notices; Notice". The system number is NRC-32: Office of the Chief Financial Officer Financial Transactions and Debt Collection Management Records.

b.	If the Privacy Act System of Records is being modified, will the SOR notice require amendment or revision? Yes ____ No__**X**__
If yes, explain.

Modification of the Fees Systems does not require amendment or revision of the SOR notice.

10.	*Access* to the Data

a.	Who will have access to the data in the system (users, managers, system administrators, developers, other)?

Authorized NRC staff and OCFO contractors have various, appropriate levels of access to the data and NRC licensees have access to printed output only, i.e., invoices.

b.	Are criteria, procedures, controls, and responsibilities regarding access documented? If so, where?

No, they are not fully documented. However, a re-accreditation and re-certification is currently in progress and will include documenting the access information.

c.   Will users have access to all data in the system or will users' access be restricted? Explain.

Access is restricted at various levels and different components are controlled individually.

d.   What controls are or will be in place to prevent the misuse (e.g., unauthorized browsing) of data by those having access?

Various procedural and internal controls, such as separation of duties, are in place. Access is monitored and audit trails are maintained.

e.   Do other systems share data or have access to data in this system?
Yes__**X**__   No____
If yes, explain.

Billing transactions and licensee name/address information are electronically sent to the Federal Financial System (FFS), the NRC's core accounting system.

f.   Will other agencies share data or have access to data in this system (Federal, State, local, other)? Yes__**X**__   No____
If yes, explain.

FFS is cross-serviced by the Department of the Interior (DOI).

g.   Were Privacy Act clauses cited (or will be cited) and were other regulatory measures addressed in contracts with contractors having access to this system? Yes__**X**__   No____
If yes, explain.

Privacy Act clauses were cited and other regulatory measures were addressed in contracts with contractors that have access to the Fees System. Contractors are required to obtain an NRC Type II IT clearance prior to accessing any information related to the Fee Systems.

DEFINITIONS

Personal Information is information about an identifiable individual that may include but not be limited to:
- race, national or ethnic origin, religion, age, marital or family status
- education, medical, psychiatric, psychological, criminal, financial, or employment history
- any identification number, symbol, or other particular assigned to an individual
- name, address, telephone number, fingerprints, blood type, or DNA

Aggregation of data is the taking of various data elements and then turning them into a composite of all the data to form another type of data such as tables or data arrays, or collecting data into a single database.

Consolidation means combining data from more than one source into one system, application, or process. Existing controls for the individual parts should remain or be strengthened to ensure no inappropriate access by unauthorized individuals. However, since individual pieces of data lose their identity, existing controls may actually be diminished; e.g., a summary census report may not point at the individual respondent but rather at a class of respondents, which makes it less personal.

PRIVACY IMPACT ASSESSMENT REVIEW/APPROVAL
(For Use by OIS Staff)

System Name: Fees System

Submitting Office: Office of the Chief Financial Officer

A. PRIVACY ACT APPLICABILITY REVIEW

_____   Privacy Act is not applicable.

__X__   Privacy Act is applicable. Currently covered under System of Records NRC-32, "Office of the Chief Financial Officer Financial Transactions and Debt Collection Management Records." No modification to the system notice is required.

_____   Privacy Act is applicable. Creates a new system of records. FOIA/PA Team will take the lead to prepare the system notice.

_____   Privacy Act is applicable. Currently covered under System of Records, NRC _____. Modification to the system notice is required. FOIA/PA Team will take the lead to prepare the following changes:

Comments:

Discussed Fees with Leah Tremper, System Manager for Privacy Act system of records NRC-32. She explained that the Fees System contains mostly information on commercial vendors; however, since there is the possibility that some of the vendor records could be consumer records (i.e. a doctor using his social security number), we included these records under this system of records.

Reviewer's Name	Title	Date
Sandra S. Northern	Privacy Program Officer	March 20, 2006

B. INFORMATION COLLECTION APPLICABILITY DETERMINATION

_____   No OMB clearance is needed.

_____   OMB clearance is needed.

__X__   Currently has OMB Clearance.

Comments:

Under 10 CFR Part 170 and 171, the agency recovers a major portion of its annual budget through fees assessed in compliance with the Omnibus Budget Reconciliation Act of 1990 (OBRA-90), as amended, and the Independent Offices Appropriation Act of 1952 (IOAA). Fee information is captured under several OMB clearance numbers.   Materials licenses and amendments are submitted on NRC Form 313 (OMB number 3150-0120). Reactor licenses and amendments are submitted under 10 CFR Part 50 (OMB number 3150-0011) and 10 CFR Part 52 (OMB number 3150-0151).

Reviewer's Name	Title	Date
Christopher J. Colburn	Team Leader	March 27, 2006

C. RECORDS RETENTION AND DISPOSAL SCHEDULE DETERMINATION

  X   Additional information is needed to complete assessment.

____   Needs to be scheduled.

____   Existing records retention and disposition schedule covers the system - no modifications needed.

____   Records retention and disposition schedule must be modified to reflect the following:

Comments:

Item E.7.e. states that the data is maintained in accordance with GRS 6-1.a (a). Is this suppose to be GRS 6-1.a? This same reference is provided on NRC From 637 in item 41. Should this be changed as well?

Item E.7.e. states that Electronic records from the FEES system are maintained in accordance with (NRCS) 2-10.3 (NUREG-0910)(b). The numbering system was changed in the latest version of NUREG 0910. (Rev. 4). Is the item being referenced Item NRCS 2-5.7 "Licensee Fee Branch Reporting system (FEES)" listed in the latest version of the NUREG?

Item E.7.e. states that Program Offices retain hardcopy cost data reports in accordance with NRCS 1-1.8. This reference is to "Staff Working Files" (in both versions of NUREG 0910). Is this the correct schedule being applied? The retention indicated for these records is 6 years 3 months. However, NRCS 1-1.8 indicates that material under this schedule should be retained for the same period of time as the related "Subject Files".   It does not appear that the 6 years 3 months retention referenced would apply to this schedule.

NRC Form 616   In the block for "Name of Application" there are three separate systems listed. FEES, MATANN, and PC/MATANN. The NRCS schedule being applied to the FEES system was specific to this system. It was not approved for use by the two additional systems. What are these systems and are they separate from the FEES system? Do they need to be evaluated as well?

NRC Form 637   In item 41 only one GRS item is listed. Shouldn't the NRCI schedules be listed as well? Should there be additional listings provided for the MATANN and PC/MATANN systems?

These and other records management issues need to be resolved. However, the need for further records evaluation does not preclude moving forward with the system certification.

Reviewer's Name	Title	Date
Jeff Bartlett	Senior Records Analyst	03/27/2006

D. BRANCH CHIEF REVIEW AND CONCURRENCE

_____ Does not constitute a Privacy Impact Assessment required by the E-Government Act of 2002

__X__ Does constitute a Privacy Impact Assessment required by the E-Government Act of 2002 and requires approval of the Director, IRSD.

CONCUR IN REVIEW: _____/RA/_____ Date: 03/27/2006
Brenda J. Shelton, Chief
Records and FOIA/Privacy Services Branch

E. DIVISION DIRECTOR APPROVAL OF PRIVACY IMPACT ASSESSMENT:
(Approval is only required when Yes is given to Section B, questions 1 and 2 and Section C, question 1. The system collects, maintains, or disseminates personal information in identifiable form about members of the public.)

_/RA by Brenda J. Shelton Acting for/_____ Date: 03/27/2006
John Linehan, Director, Information and Records Services Division

TRANSMITTAL OF PRIVACY IMPACT ASSESSMENT/
PRIVACY IMPACT ASSESSMENT REVIEW RESULTS

TO: (Sponsoring Office) **Office of the Chief Financial Officer**	Office Sponsor **Jesse Funches, Chief Financial Officer**	
Reginald W. Mitchell, Director Business Process Improvement and Applications Division, OIS	Name of System: **Fees System**	
Kathy L. Lyons-Burke, CISSP Senior IT Security Officer (SITSO)/Chief Information Security Officer (CISO) Office of Information Services	Date Received: **03/09/2006**	Date Completed: **03/27/2006**

Noted Application Development and System Security Issues:

Fees is covered under Privacy Act system of records NRC-32, "Office of the Chief Financial Officer Financial Transactions and Debt Collection Management Records."

Further information is needed to resolve records management questions and concerns. However, this does not preclude moving forward with the system certification.

Brenda J. Shelton, Chief Records and FOIA/Privacy Services Branch, OIS	Signature: */RA/*	Date: **03/27/2006**